POLICY NAME:	**Policy and Procedure Framework**
POLICY NUMBER:	**G002**
ADOPTED:	**18 April 2023**
REVIEW DATE:	**30 April 2025**
PURPOSE:	This Policy establishes the framework for the management of policies, procedures and supporting documents.

1   SCOPE

This Policy applies to all Council staff.

2   HEAD OF POWER

Local Government Act 2009 s13(3)(a)

3   DEFINITIONS

To assist in the interpretation of this Policy the following definitions apply:

"Administrative Changes" means a housekeeping change to a policy such as wording, updating a section name, typographical errors or reference to legislation which does not alter the scope, purpose or intent of the document.

"Chief Executive Officer" means the person appointed as the Chief Executive Officer of Council under the Local Government Act 2009.

"Executive Management Team" means the formal meeting of senior management team including Chief Executive Officer and Directors.

"Material Change" means a change to the purpose, scope or significant change to the content, responsibilities, limits, assignment of powers etc.

"Precautionary Principle" means that if an action or policy or procedure has a suspected risk of causing harm to the public or to the environment, in the absence of scientific consensus that the action or policy or procedure is harmful, the burden of proof that it is not harmful falls on those taking the action.

4   POLICY STATEMENT

A policy should be adopted for any area of the Council's operation where direction or purpose needs to be set in order to conduct Council business.

A policy is delivered through procedures which give instructions and set out processes to implement a policy. In order to effectively and efficiently manage policies and procedures, this policy establishes a hierarchy and sets out the requirements and standards for each step of the development and improvement process. All policies and procedures must be developed, deployed, monitored and revised in accordance with this policy.

A policy is used by Council to:

- provide clarity and consistency.
- improve decision making.
- inform judgements and guide actions.
- manage risks and entitlements.
- explain why things need to be done or need to change.
- fill gaps not covered by legislation or to impose conditions or constraints not defined elsewhere.
- implement legislative requirements.

4.1   Document hierarchy

This policy establishes the following types of documents:
- Council Policy
- Management Directive
- Organisational Procedure
- Internal Procedure
- Relevant Documents

4.1.1   Council Policy

A council policy is a rule, position statement or stance of the organisation which has been formally adopted by Council. It is intended to provide direction and guidance to both the organisation and community in respect of Council's position on a particular matter.

Council policies are those which may have significant public interest or a community focus or are required by legislation.

As shown in the Decision-Making Flowchart set out in item 5.2 of this policy, a council policy is endorsed by the Executive Management Team and adopted by Council.

Due to the external focus or community interest, it is expected that the stakeholder consultation for council policy would involve Councilors, individuals, groups and organisation's external to Council.

A council policy must have consultation with Councilors before being presented at a Council meeting for approval regardless of the changes being recommended.

4.1.2   Management Directive

A management directive is a guiding principle which provides direction to staff on the operational approach to be taken in relation to a particular issue. These standards are approved internally by the Executive Management Team.

Management directives have an internal focus and can affect the whole or the majority of the Organisation. The CEO may refer a management directive to Council for consideration and feedback prior to approval.

As shown in the Decision-Making Flowchart set out in item 5.2 of this policy, management directives are approved by the Executive Management Team.

As a management directive has the potential to affects large number of staff, it is expected that stakeholder consultation will include representatives from throughout Council.

4.1.3   Organisational Procedure

An organisational procedure is a set of instructions that provides practical guidance on the implementation of a policy. They have an internal focus and can affect the whole or the majority of the organisation.

Organisational procedures are approved by the Executive Manager/Director of the area; however, it is expected that stakeholder consultation will include representatives from throughout Council, including consultation with the Executive Management Team depending on the scope of the procedure.

4.1.4   Internal Procedure

An internal procedure is a set of instructions or a business process which outlines the method by which a task or function is to be undertaken. They have an internal focus and normally only affect a small number of individuals.

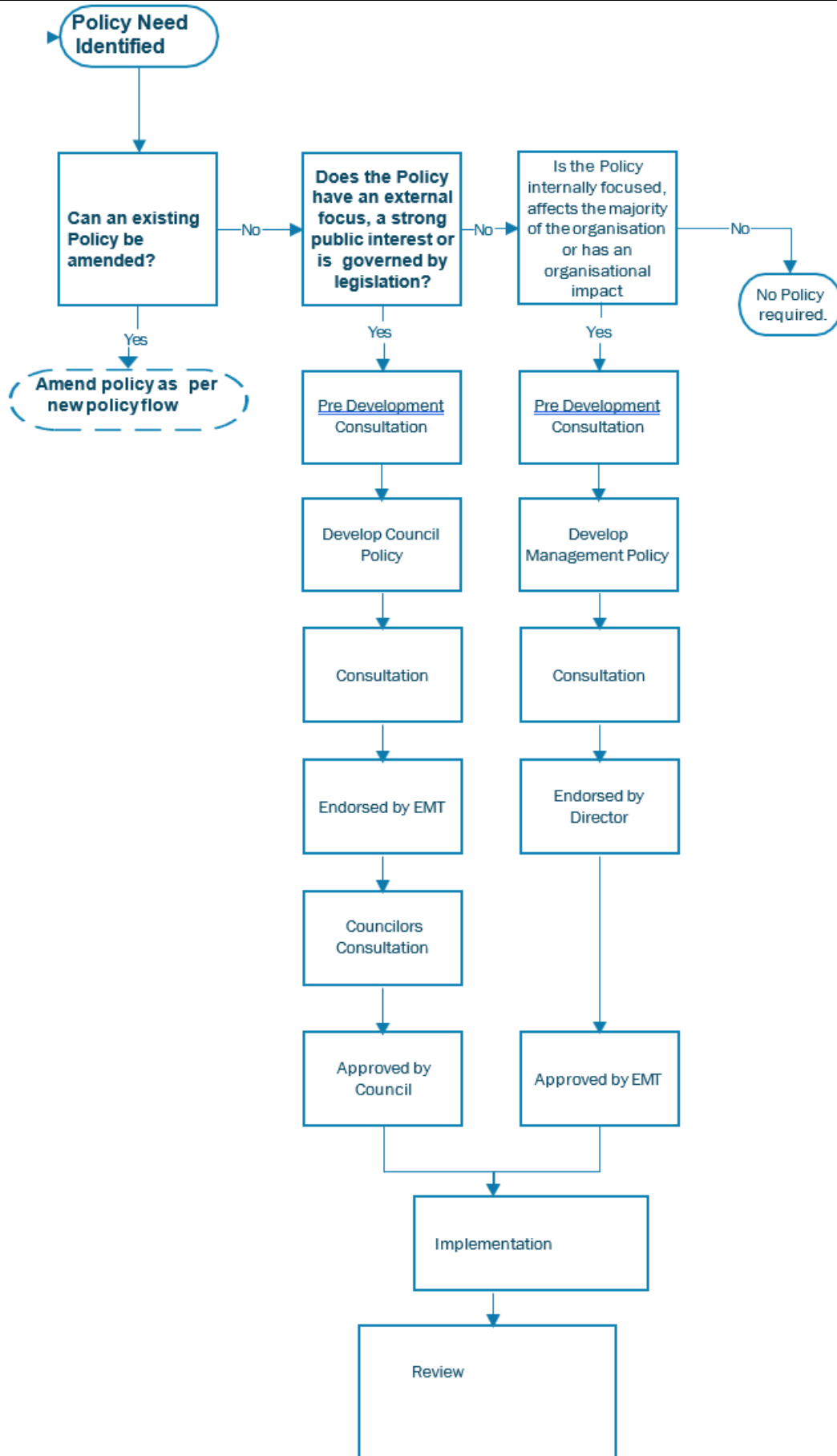Internal procedures are approved by the supervisor/manager of the area.

4.1.5   Relevant document

Relevant documents refer to documents that have been created to support the policy or procedure. Examples include forms, guides, and fact sheets. These are approved internally by the relevant supervisor/manager. Reference to relevant documents must be stated in the policies that they apply to.

4.2   Decision making flowchart

The Decision Making Flowchart will assist to determine which policy is required to be developed.\

Policy Need Identified

Can an existing Policy be amended?

→ No →

Does the Policy have an external focus, a strong public interest or is governed by legislation?

→ No →

Is the Policy internally focused, affects the majority of the organisation or has an organisational impact

→ No →

No Policy required.

Yes (from "Can an existing Policy be amended?")

Amend policy as per new policy flow

Yes (from "Does the Policy have an external focus...")

Pre Development Consultation

Develop Council Policy

Consultation

Endorsed by EMT

Councilors Consultation

Approved by Council

Yes (from "Is the Policy internally focused...")

Pre Development Consultation

Develop Management Policy

Consultation

Endorsed by Director

Approved by EMT

Implementation

Review

4.3   Approval

All policies and procedures are to be endorsed and approved in accordance with the following table before they become operational.

	Supervisor / Manager	EM / Director	ELT	Council
Council Policy			Endorse	Approve
Management Directive		Endorse	Approve	
Organisational Procedure		Approve		
Internal Procedure	Approve			
Relevant Documents	Approve			

A policy or procedure will remain in force unless formally repealed by the relevant Approval Authority or superseded by another policy or procedure.

Where organisational structure change results in changing roles, the existing responsibilities and accountabilities will revert to the new structure until the policy or procedure is formally amended to reflect the new or amended position title, authority or role that takes its place.

4.4   Document control

Document control ensures that documents within an organisation are up-to-date, reliable, consistent, checked and formally approved.

Governance is responsible for document control for all council and management directives. The business areas are responsible for organisational and internal procedures and related documents.

4.5   Content

Policies are developed in order to provide parameters and guidelines for the achievement of the Council's strategic and operational objectives, giving consideration to statutory, best practice and quality management requirements.

4.5.1   Compliance

Policies must comply with the relevant principles set out in, relevant legislation, Council resolutions, the Corporate Plan and the Governance Document Development Guide.

4.5.2   Consistency

Terminology used in the policy must be similar to that used relevant in the legislation. Use of the prescribed templates and the guide will ensure consistency of format, content, and process.

4.5.3   Clarity

All policy documents will contain clear, concise English, enabling a wide range of users to understand the content. Where prescribed terminology is used (e.g. extracted from legislation) a clear description of the terminology must be given in the definitions section of the policy document, to allow cross-referencing and comprehension.

4.5.4   Stages of policy development

The five stages of policy development are:

- **Needs Identification**: This stage includes identifying the matter to be addressed, seeking authority to proceed, and selection of the appropriate policy level which will contribute to achievement of Corporate Plan goals.

- **Policy Development**: This stage incorporates the identification of appropriate stakeholders, commencement of the consultation process, gathering relevant background information, authoring the policy document, and incorporating feedback.

- **Policy Endorsement and Approval**: This stage includes notifying the appropriate officers and/or Council, of the requirement to evaluate the draft policy, and submitting it for endorsement and approval.

- **Policy Implementation**: This is the final stage in the policy process but is ongoing. It includes such activities as activating the policy, notification, distribution, awareness and education.

- **Policy Review**: During the policy drafting stage, consideration will be given to the appropriate timelines for reviewing the policy. A review schedule will be incorporated into the policy document, which will commence once policy has been approved.

4.5.5   Policy owner

A policy owner will be designated for all policies and will bear responsibility for regular review of the policy and for incorporating required changes.

4.5.6   Relationship/impact on other policies

It is the responsibility of the writer to assess any areas of overlap, contradiction, or integration with other policies and to discuss these issues with the owner.

4.5.7   Policy currency

The electronic version of each policy will be verifiable as the current version, whilst printed versions will contain a disclaimer warning that the printed copy may not be the current version.

4.5.8   Policy numbering

Policy numbering will reflect the type of policy.

4.5.9   Policy review

All policies will have specified time frames for review. As part of the approval process a risk assessment will be undertaken and a date for reviewing of the relevant policy will be determined. Policies will be reviewed

within a one to three year interval depending on the risk assessment of the policy. The following criteria is used to determine the risk:

- Implications of statutory requirements;
- Implications for operational effectiveness and efficiency;
- Potential for negative impact on;
  - operational activity
  - strategic objectives
  - environmental / economic factors
  - reputation
- Complex procedures or technical information; or
- Change is likely to occur.

Based on the determined risk assessment a review period is applied to each policy using the following:

- High risk – review annually
- Medium risk – review every 2 years
- Low risk – review every 3 years

Upon completing a review of a policy, any material changes are required to be formally approved.

A reviewed policy with no changes is not considered an administrative change and must be submitted for formal approval to ensure the policy content still conforms to the strategic intent.

At any stage, changes considered to be of an immaterial nature (administrative change) can be approved by the Director.

The Policy and Procedure Organisational Procedure outlines the process for amending policies with administrative changes.

4.5.10 Policy access

All employees will have access to council policies, management directives, organisational procedures, and internal procedures. Employees without electronic access will be notified by their supervisor or manager when policies are approved. Printed copies may be obtained upon request from supervisors and a copy of all approved policies relevant to the section's operations must be available at all Council offices and depots where staff do not have internet access.

The public will have access to relevant policies through external website. Printed copies of these policies will be made available on request.

5   ASSOCIATED DOCUMENTS

Council or Management Directive Template